

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2010-09-10

2. **Agency:** 027

3. **Bureau:** 00

4. **Name of this Investment:** Retirement Systems Modernization (RSM)

5. **Unique Project (Investment) Identifier (UPI):** 027-00-01-02-01-1010-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2001 or earlier

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

OPM administers the Federal Retirement Program covering over 2.9 million active employees and 2.5 million annuitants. This responsibility is critical in achieving OPM's strategic goal to honor the careers of Federal retirees and corresponding strategy to develop a 21st century consumer focused retirement processing system that adjudicates claims timely and accurately. The RSM program is a strategic initiative to automate retirement processes using modern technology to ensure retirees and survivor annuitants are paid accurately and receive high-caliber customer service. RSM's vision for addressing these challenges entails modernizing a host of retirement systems to provide timely and accurate retirement processing and avoid system failure that could jeopardize payments to 2.5M annuitants. OPM's integrated data environment (provided by OPM's Enterprise Human Resources Integration (EHRI) program) provides a centralized data warehouse for storing electronic retirement data compiled from agencies and shared service centers through electronic feeds and interfaces to OPM systems. The other near-term element is an electronic tool to access imaged retirement records; an online retirement application for the applicant, HR/payroll office, and OPM users. In light of tight fiscal restraints and the need to sustain existing OPM operations, the FY 2012 budget does not provide funds for Retirement Systems Modernization. OMB and OPM have agreed to formally cancel the program. As OPM determines what automation will be needed to support Retirement Services in the future, additional retirement system automation will be scheduled on a system by system basis. Responsibility for the remaining key outcomes associated with establishing a centralized data warehouse and compiling retirement data electronically through standard feeds with Shared Service Centers is being transitioned to OPM's EHRI program.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
Summary of GAO Recommendations in GAO-09-529	http://www.gao.gov/highrisk/agency/opm/modernizing_federal.php

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2010-08-26
- b. **Provide the date of the most recent or planned approved project charter.** 2010-04-22

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Bill Zielinski
Phone Number: *
Email: *

11. **What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 4

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded		24000IA0309000009/0005	Enterprise Human Resources Integration	N/A Procured Through In	*	*	\$21.1	Firm Fixed Price	Y	2007-11-01	2011-02-28	Not Competed	
Awarded		2400OPMTO0209005055	Program Management Office	N/A Procured thru TMA	*	*	\$7.8	Firm Fixed Price	Y	2007-05-01	2011-02-28	Full and Open Competition	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. Evaluation of cloud computing alternatives formed part of the FY2010 Business Case Analysis for the program.

3. Provide the date of the most recent or planned Quality Assurance Plan 2010-12-15

4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
027-00-01-01-01-1020-00,027-00-01-03-02-1050-00,027-00-01-99-01-1219-24,027-00-03-00-02-1010-00,027-00-02-00-01-1010-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
027-00-01-01-01-1020-00,027-00-01-02-02-1030-00,027-00-01-05-02-1080-00

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2010-08-10

6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-08-18

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Paper Data - FY09	DME	*	\$6.6	\$4.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Electronic Data - FY09	DME	*	\$5.3	\$4.4	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Business Transformation - FY06	DME	*	\$1.4	\$1.4	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
Business Transformation - FY07 and FY08	DME	*	\$10.8	\$10.8	2006-10-01	2006-10-01	2008-09-30	2008-09-30	100.00%	100.00%
OPM Infrastructure - FY09	DME	*	\$1.5	\$1.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Operations Support - FY08	DME	*	\$0.0	\$0.0	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Program Management - FY06	DME	*	\$2.6	\$2.6	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
Program Management - FY07	DME	*	\$5.3	\$5.3	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
Program Management - FY08	DME	*	\$4.9	\$4.9	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Program Management - FY09	DME	*	\$3.6	\$3.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Image Incoming Paper FY10	SS	*	\$1.9	\$1.9	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
Project Management FY10 - 19	DME	*	\$5.6	\$3.8	2009-10-01	2009-10-01	2011-02-28	2011-02-28	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Retirement Data Repository and Feeds FY10 - 19	DME	*	\$5.1	\$5.0	2009-10-01	2009-10-01	2011-02-28	2011-02-28	100.00%	100.00%
Legacy System Modernization FY10 - 19	DME	*	\$1.5	\$1.5	2010-01-01	2010-01-01	2011-02-28	2011-02-28	100.00%	100.00%
Automate Retirement Application FY10 - 19	DME	*	\$0.9	\$0.9	2010-05-27	2010-05-27	2011-02-28	2011-02-28	100.00%	100.00%
Program Terminated	DME	*	\$0.0	\$0.0	2011-02-28	2011-02-28	2011-02-28	2011-02-28	100.00%	100.00%

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2010-07-28

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Technology	Availability	Data Repository Availability	annual	(% of time application available) / (Total available time per service agreement)	Steady	0.99	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.994	Future Year	Not Due	2011-02-27
Technology	Availability	Data Repository Availability	annual	(% of time application available) / (Total available time per service agreement)	Steady	99 %	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	99.4 %	99.9 %	Met	2011-02-27
Technology	Availability	Online availability of imaged paper records	annual	(% of time application available) / (Total available time per service agreement)	Steady	90 %	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	99.4 %	99.9 %	Met	2011-02-27
Technology	Availability	Online availability of imaged paper records =	annual	(% of time application available) / (Total available time per service agreement)	Steady	0.9	2009-09-04

			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.994	Future Year	Not Due	2011-02-27
Mission and Business Results	Information Management	Percent (%) of agencies submitting IRR data to OPM electronically	annual	Number of Agencies	Increasing	0	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.5	Future Year	Not Due	2011-02-27
Mission and Business Results	Information Management	Percent (%) of agencies submitting IRR data to OPM electronically	annual	Number of Agencies	Increasing	0	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	0	0	Met	2011-02-27
Processes and Activities	Security	Percentage of C&A completed on time during the fiscal year	annual	Percentage of timely C&A completions	Steady	1	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	1	Future Year	Not Due	2011-02-27
Processes and Activities	Security	Percentage of C&A completed on time during the fiscal year	annual	Percentage of timely C&A completions	Steady	100 %	2009-09-04
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	100 %	100 %	Met	2011-02-27

* - Indicates data is redacted.